



## DEPARTMENT OF MENTAL HEALTH POLICY/PROCEDURE

SUBJECT <b>ITEM CONTROL GUIDELINES</b>	POLICY NO. <b>612.1</b>	EFFECTIVE DATE <b>10/1/89</b>	PAGE <b>Page 1 of 3</b>
APPROVED BY: <b>original signed by:</b> <b>ROBERTO QUIROZ</b> Director	SUPERSEDES <b>716</b> <b>2/5/88</b>	ORIGINAL ISSUE DATE <b>2/5/88</b>	DISTRIBUTION LEVEL(S) <b>1</b>

### PURPOSE

- 1.1 To assist in the control of the Department of Mental Health (DMH) expenditures; to create an Item Control system in which each employee encumbers only one item; to help assure that items are used in accordance with the County's classification system; and to help assure that the Department's items are in conformity with the CAO-authorized budget.

### POLICY

- 2.1 Managers who authorize Personnel Action Forms (PAF's) must ensure that the use of Departmental items is in accordance with these goals and the guidelines established in this policy.
- 2.2 Any PAF modifying an organizational unit's (budget code) CAO-approved item allocation will be reviewed for classification appropriateness by the Personnel Bureau prior to its authorization. Duty statements justifying the transfer of an item not allocated to the organizational unit or the appointment of an individual to a payroll classification not allocated to the organizational unit must accompany PAF's for which such actions are sought.
- 2.3 SPLITTING ITEMS
  - 2.3.1 Items may not be split.
  - 2.3.2 "Split" is defined as more than one employee encumbering an item. An employee may encumber a budgeted item or an "ordinance only" item with frozen funds re-allocated to that item.
  - 2.3.3 During the first full fiscal year (FY 88/89) under these guidelines, items already split were allowed to continue as split items, but not allowed to be split further. A PAF replacing an employee on a split item was permitted during FY 88/89. However, the PAF must have been accompanied by a written statement from the Deputy Director identifying that a full ordinance item would be requested for the following fiscal year. (FY 88/89).
  - 2.3.4 By June 30, 1989, District/Division Chiefs and Deputy Directors must have taken appropriate measures to initiate termination of all split items. These measures include



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identifying and utilizing available items allocated to their operations and requesting appropriate items in the budget for subsequent fiscal years (FY 89/90 and after).

### 2.4 FREEZING FUNDED ITEMS

2.4.1 Only unencumbered items may be frozen in order to re-allocate funding to one or more "ordinance only" items in the same organizational unit.

2.4.2 Items may be "frozen" for equal or lower level positions.

2.4.3 For the purposes of these guidelines only, within the Department, items are generally grouped along clinical/treatment and administrative/clerical considerations. Clinical/treatment items provide mental health services to the Department's clientele. Clinical/treatment items would include Psychiatric Social Worker, Clinical Psychologist, Mental Health Counselor, R.N., and Recreation Therapist.

Administrative/clerical items serve in support of the clinical/treatment responsibilities of the Department. Such positions would include Secretaries, Clerks, Mental Health Analysts, Staff Assistants, and Central Staff in line offices, bureau operations, or administrative headquarters.

2.4.4 Clinical/treatment items may only be used to fund administrative/clerical positions for one fiscal year with the approval of the appropriate Assistant Director. For the following fiscal year, a budget request must be submitted for the appropriate administrative or clerical position. Deputy Directors authorizing a PAF which freezes a clinical/treatment item for an administrative/clerical position must submit a written statement identifying that such a budget request will be made for the following fiscal year.

2.4.5 In addition, when any psychiatrist item is to be frozen to fund other than a psychiatrist, Medical Director authorization will be required prior to the PAF's processing by the Personnel Bureau.

2.4.6 A frozen item may not be loaned to another organizational unit.

### 2.5 LOANING/BORROWING ITEMS

2.5.1 An item may only be loaned/borrowed for one fiscal year at a time.

2.5.2 Ongoing loans/borrows must be re-justified each fiscal year. If the borrowed item is no longer needed at the end of the fiscal year, it must be returned to the original organizational unit.



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2.5.3 Borrowed items may not be re-loaned.

2.5.4 "Third party" negotiations are not permitted.

2.5.5 A borrowed item may be frozen, but the funding behind the item may not be re-allocated to another organizational unit.

2.5.6 Both the loaning and borrowing District/Division Chiefs and/or Deputy Directors must agree in writing to the arrangement. The agreement must be attached to the PAF.

### 2.6 OVERHIRES

2.6.1 Overhires consist of the following situations:

2.6.1.1 Straight Overhire: No allocated item available and no funding identified.

2.6.1.2 Allocation Overhire: Funding identified but no item allocated to the organizational unit.

2.6.1.3 Partial Overhire: "Ordinance Only" item allocated to the organizational unit but funding insufficient.

2.6.2 Overhires will be reviewed closely and require the approval of both the Assistant Director of Administration, for fiscal impact, and the Personnel Bureau, for classification appropriateness.

### AUTHORITY

Department of Mental Health Policy